



Practitioner's Docket No. MWH-0303US2

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Connie M. Drysdale, Richard S. Judson, Stephen B. Liggett, Krishnan Nandabalan, and J. Claiborne Stephens

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NOV 20 2002

Application No.: 09/811,285

Filed on: March 16, 2001

Title: Association of Beta2-Adrenergic Receptor Haplotypes with Drug Response

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**STATEMENT OF STATUS AS SMALL ENTITY
(37 C.F.R. § 1.27(a)(2))—SMALL BUSINESS CONCERN**

I hereby state that I am an official of the small business concern empowered to act on behalf of the concern identified below:

Genaissance Pharmaceuticals, Inc.
5 Science Park
New Haven, CT 06511

I hereby state that the above identified small business concern qualifies as a small business concern, as defined in 13 C.F.R. § 121, and in 37 C.F.R. § 1.27(a)(2), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to, and remain with, the small business concern identified above, with regard to the invention described in the application identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as a person under 37 C.F.R. § 1.27(a)(1), if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.27(a)(2) or a nonprofit organization under 37 C.F.R. § 1.27(a)(3).

Each such person, concern or organization is listed below:

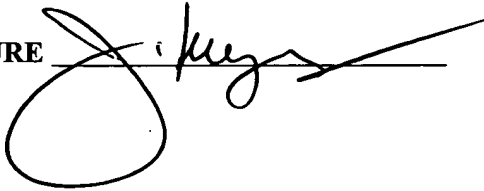
FULL NAME University of Cincinnati
ADDRESS 2624 Clifton Avenue
Cincinnati, OH 45221-0623

NONPROFIT ORGANIZATION

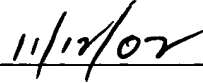
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 C.F.R. § 1.28(b))

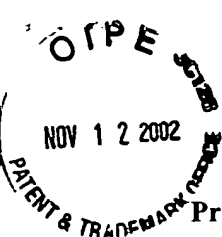
Joseph Keyes
Chief Financial Officer
Genaissance Pharmaceuticals, Inc.
5 Science Park
New Haven, CT 06511

SIGNATURE

A handwritten signature in black ink, appearing to read 'J. Keyes', written over a horizontal line.

Date

A handwritten date '11/12/02' in black ink, written over a horizontal line.



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In re application of: Connie M. Drysdale, Richard S. Judson, Stephen B. Liggett,
KrishnanNandabalan, and J. Claiborne Stephens

Application No.: 09/811,285

Group No.: 1646

Filed: 03/16/2001

Examiner: Joseph Murphy

For: Association of Beta2-Adrenergic Receptor Haplotypes with Drug Response

Box Sequence

Commissioner for Patents

Washington, D.C. 20231

SUBMISSION OF "SEQUENCE LISTING," COMPUTER READABLE COPY,
AND/OR AMENDMENT PERTAINING THERETO
FOR BIOTECHNOLOGY INVENTION CONTAINING NUCLEOTIDE
AND/OR AMINO ACID SEQUENCE

IDENTIFICATION OF PERSON MAKING STATEMENT

1. I, Gisela M. Field state the following:

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CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*

(When using Express Mail, the Express Mail label number is *mandatory*;
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

G deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, Washington D.C. 20231

37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10*

G with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Addressee"

Mailing Label No. EL594597464US (mandatory)

TRANSMISSION

G facsimile transmitted to the Patent and Trademark Office, (703) _____ - _____.

Signature

Date: 10/12/02

Adam Gentile
(type or print name of person certifying)

* Only the date of filing (' 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under ' 1.8 continues to be taken into account in determining timeliness. See ' 1.703(f). Consider "Express Mail Post Office to Addressee" (' 1.10) or facsimile transmission (' 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

ITEMS BEING SUBMITTED

2. Submitted herewith is/are:

A supplemental "Sequence Listing(s)" for the nucleotide and/or amino acid sequence(s) in this application. Each "Sequence Listing" is assigned a separate identifier as required in 37 C.F.R. § 1.821(c) and 37 C.F.R. §§ 1.822 and 1.823.

A copy of each "Sequence Listing" submitted for this application in computer readable form, in accordance with the requirements of 37 C.F.R. §§ 1.821(e) and 1.824.

A statement that the content of each "Sequence Listing" submitted and each computer readable copy are the same, as required in 37 C.F.R. § 1.821(g).

Because this submission is made in fulfilling the requirement under 37 C.F.R. § 1.821(g), a statement that the submission includes no new matter.

**STATEMENT THAT "SEQUENCE LISTING"
AND COMPUTER READABLE COPY ARE THE SAME AND THAT PAPERS SUBMITTED
INCLUDES NO NEW MATTER**

3. I hereby state:

Each computer readable form submitted in this application, including those forms requested to be transferred from applicant's other application, is the same as the "Sequence Listing" to which it is indicated to relate.

All papers accompanying this submission, or for which a request for transfer from applicants' other application, introduce no new matter.

STATUS

4. Applicant is a small entity. A statement is attached.

FEE DEFICIENCY

It is believed that no fee is required, but if that is incorrect you are hereby authorized to debit deposit account no. 50-1293 for any deficiency.

SIGNATURE(s)

Date: 11/12/02

Reg. No.: 47,592
Tel. No.: 203-786-3473
Customer No.: 25106



Signature of Practitioner

Gisela M. Field
Genaissance Pharmaceuticals, Inc.
5 Science Park
New Haven, CT 06511

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